

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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In re application of:

STEVEN R. SMITH

Serial No.:

ART UNIT:

Filing Date: September 15, 2003

Continuation of Serial No. 10/210,926  
filed 08/02/2002

Examiner:

For: SEMICONDUCTOR PACKAGE HAVING POLYMER  
MEMBERS CONFIGURED TO PROVIDE SELECTED  
PACKAGE CHARACTERISTICS (as amended)

Attorney Docket No. 99-0866.3

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**INFORMATION DISCLOSURE STATEMENT**  
**September 15, 2003**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The following sections are being submitted for this Information  
Disclosure Statement:

1.      x          Preliminary Statements
2.      x          FORM PTO SB/08
3.                  Statement As to Information Material to  
                         Examination Not Found in Patents or Publications.
4.      x          Identification of Prior Application in Which Listed  
                         Information Was Already Cited and For Which No Copies  
                         are Submitted Or Need be Submitted.
5.                  Cumulative Patents or Publications.
6.                  Copies of Listed Information Items Accompanying  
                         This Statement.

7. \_\_\_\_\_ Concise Explanation of Non-English Language Listed Information Items.
8. \_\_\_\_\_ Translation(s) of Non-English Language Documents.
9.   x   Identification of Person(s) Making This Information Disclosure Statement.

### Section 1. Preliminary Statements

Applicants submit herewith patents, publications or other information of which they are aware which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this information disclosure statement shall not be construed as a representation that a search has made (37 C.F.R. 1.56 (g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

### Section 2. Identification of Person(s) Making This INFORMATION DISCLOSURE STATEMENT

The person making this statement is

(a) \_\_\_\_\_ the inventor(s) who signs below

\_\_\_\_\_  
SIGNATURE OF INVENTOR

\_\_\_\_\_  
Name of Inventor

(b)   x   the attorney who signs below on the basis of:

\_\_\_\_\_ the information supplied by the inventor(s)

\_\_\_\_\_ an individual associated with the filing and prosecution of this application (37 CFR 1.56(c))

  x   the information in the attorney's file.

### Section 3. Identification of Prior Application In Which Listed Information Was Already Cited and For Which No Copies are Submitted or Needed Be Submitted.


This application relies, under 35 U.S.C. 120, on the earlier filing date of application serial no. 10/210,926, filed on 08/02/2002, which is a continuation of Serial No. 09/841,221, filed 04/25/2001, Patent No.

6,440,772B1, which is a division of Serial No. 09/454,503, filed 12/06/1999, Patent No. 6,384,487B1.

The attached list of references were submitted to and/or cited by the Office in these prior applications and, therefore, are not required to be provided in this application.

DATED this 15th day of September, 2003.

Respectfully submitted:

  
Stephen A. Gratton  
Registration No. 28,418  
Attorney for Applicants

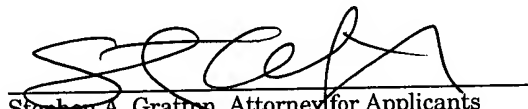
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Date of Signature

  
Stephen A. Gratton, Attorney for Applicants

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Substitute for form 1449/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>		Application Number	
		Filing Date	9/15/2003
		First Named Inventor	STEVEN R. SMITH
		Art Unit	
		Examiner Name	
Sheet 1 of 4	Attorney Docket Number	99-0866.3	

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	A	US- 3,706,840	12/19/1972	Moyle et al.	
	B	US- 3,721,868	03/20/1973	Smith, Jr.	
	C	US- 3,778,685	12/11/1973	Kennedy	
	D	US- 4,026,008	05/31/1977	Drees	
	E	US- 4,250,347	02/10/1981	Fierkens	
	F	US- 4,540,603	09/10/1975	Hidaka et al.	
	G	US- 4,994,411	02/19/1991	Naito	
	H	US- 5,057,457	10/15/1991	Miyahara et al.	
	I	US- 5,097,317	03/17/1992	Fujimoto et al.	
	J	US- 5,147,815	09/15/1992	Casto	
	K	US- 5,197,183	03/30/1993	Chia et al.	
	L	US- 5,206,794	04/27/1993	Long	
	M	US- 5,291,059	03/01/1994	Ishisuka et al.	
	N	US- 5,365,107	11/15/1994	Kuraishi et al.	
	O	US- 5,437,915	08/01/1995	Nishimura et al.	
	P	US- 5,442,231	08/15/1995	Miyamoto et al.	
	Q	US- 5,619,065	04/08/1997	Kim	
	R	US- 5,637,915	06/10/1997	Sato et al.	
	S	US- 5,638,596	06/17/1997	McCormick	

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)			

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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<b>Substitute for form 1449/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>	<b>Complete if Known</b>	
	Application Number	
	Filing Date	9/15/2003
	First Named Inventor	STEVEN R. SMITH
	Art Unit	
	Examiner Name	
Sheet <u>2</u> of <u>4</u>	Attorney Docket Number	99-0866.3

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		Number-Kind Code <sup>2</sup> (if known)			
	T	US- 5,659,198	08/19/1997	Okumoto et al.	
	U	US- 5,674,785	10/07/1977	Akram et al.	
	V	US- 5,739,585	04/14/1998	Akram et al.	
	W	US- 5,750,423	05/12/1998	Ishii	
	X	US- 5,767,570	06/16/1998	Rostoker	
	Y	US- 5,770,479	06/23/1998	Brooks et al.	
	Z	US- 5,793,118	08/11/1998	Nakajima	
	AA	US- 5,689,355	02/09/1999	Fukaya	
	AB	US- 5,920,114	07/06/1999	Beaumont	
	AC	US- 5,970,320	10/19/1999	Yamasaki et al.	
	AD	US- 5,970,322	10/19/1999	Ichikawa et al.	
	AE	US- 5,989,940	11/23/1999	Nakajima	
	AF	US- 5,981,315	11/09/1999	Murakami et al.	
	AG	US- 5,998,866	12/07/1999	Ochi et al.	
	AH	US- 6,025,212	02/15/2000	VanNortwick et al.	
	AI	US- 6,028,368	02/22/2000	Abe	
	AJ	US- RE36,613	03/14/2000	Ball	
	AK	US- 6,043,430	03/28/2000	Chun	
	AL	US- 6,048,755	04/11/2000	Jiang et al.	

FOREIGN PATENT DOCUMENTS						
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Examiner Signature		Date Considered	
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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**Complete if Known**

Sheet 3 of 4

Application Number	
Filing Date	September 12, 2003
First Named Inventor	STEVEN R. SMITH
Art Unit	
Examiner Name	
Attorney Docket Number	99-0866.3

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	AM	US- 6,063,139	05/16/2000	Fukaya	
	AO	US- 6,068,180	05/30/2000	Test	
	AP	US- 6,091,157	07/18/2000	Black et al.	
	AQ	US- 6,153,924	11/28/2000	Kinsman	
	AR	US- 6,229,202B1	05/08/2001	Corisis	
	AS	US- 6,285,624B1	07/10/2001	Corisis	
	AT	US- 6,271,056B1	08/07/2001	Farnworth et al.	
	AU	US- 6,281,044B1	08/28/2001	VanNortwick	
	AV	US- 4,788,583	11/29/1988	Kawahara et al.	
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		Filing Date	09/15/2003
		First Named Inventor	STEVEN R. SMITH
		Art Unit	
		Examiner Name	
Sheet 4	of 4	Attorney Docket Number	99-0866.3

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	AW	Book of Semi Standards 1995, Packaging Volume, Specification Dimensions and Tolerances Used to Manufacture Plastic Molded Small Outline Package Tooling, SEMI 1985 pgs 175-178.	
	AX	"Analysis of Warpage of LSI package". Copyright Nitto Denko, 1999.	
	AY	LEE CHOON KUAN et al. "IC Package Warpage - Prediction and Control", TI Singapore MOS Memory Package Development Dept., date unknown.	
	AZ	1994 Dram Data Book, Micron Semiconductor, Inc., Packaging Plastic TSOP, pgs 7-19, 1994.	

Examiner Signature		Date Considered	
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